

PATENT

Attorney's Docket No. 62004-1330

Applicant or Patentee: Phyllis A. Schneck, et al.  
Serial or Patent No.: 09/514,119  
Filed or Issued: February 28, 2000  
For: Adaptive Data Security Systems and Methods

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Georgia Tech Research Corporation  
ADDRESS OF ORGANIZATION: 400 Tenth Street, Centennial Research Building  
Atlanta, Georgia 30332-0415

**TYPE OF ORGANIZATION**

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501 (a) and 501 (c)(3))
- ☒ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE GEORGIA)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501 (a) and 501 (c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled:

**ADAPTIVE DATA SECURITY SYSTEMS AND METHODS**

by inventor(s): Phyllis A. Schneck, Karsten Schwan, and Santosh Chokhani  
described in

- ☐ the specification filed herewith.
- ☒ application serial no. 09/514,119, filed February 28, 2000.
- ☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_.

JUL 2000

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

**\*NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR 1.27).

FULL NAME: N/A

ADDRESS: \_\_\_\_\_

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

NONPROFIT ORGANIZATION

FULL NAME: N/A

ADDRESS: \_\_\_\_\_

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

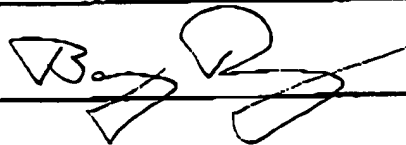
NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Barry RosenbergTITLE IN ORGANIZATION: Director, Office of Technology Licensing, GTRCADDRESS OF PERSON SIGNING: 400 Tenth Street, Centennial Research Building  
Atlanta, Georgia 30332-0415

SIGNATURE



DATE

6/14/00

Small Entity



## CERTIFICATE OF MAILING

I hereby certify that the below listed items are being deposited with the U.S. Postal Service as first class mail in an envelope addressed to:

**Assistant Commissioner for Patents**

**Box: Missing Parts  
Washington, D.C. 20231**

on 7.24.00.

Allison M. Olson  
Allison M. Olson

In Re Application Of: Schneck, et al.

Group No.: 2786

Serial No.: 09/514,119

Docket No. 62004-1330

Filed: February 28, 2000

**For: Adaptive Data Security Systems and Methods**

The following is a list of documents enclosed:

Return Postcard  
Response to Missing Parts  
Copy of Notice of Missing Parts - Filing Date Granted  
Executed Declaration and Power of Attorney  
Executed Verified Statement Claiming Small Entity Status

MissingPartsResp



## DECLARATION FOR PATENT APPLICATION

Attorney Docket No: **62004-1330**

As the below named inventor, I hereby declare that:

Our residences, post office addresses and citizenships are as stated below next to our names.

We believe we are the original, first, and joint inventors of the subject matter which is claimed and for which a patent is sought on the invention entitled **ADAPTIVE SECURITY SYSTEMS AND METHODS**, the specification of which:

- ☐ is attached hereto.  
☒ was filed on **February 28, 2000** as Application Serial No. **09/514,119**.  
☐ was filed on \_\_\_\_\_ under U.S. Express Mail No. \_\_\_\_\_.  
☐ is set forth in PCT International Application No. \_\_\_\_\_;  
filed on \_\_\_\_\_ and as amended Under PCT Article 19 on \_\_\_\_\_ (if any).

I/we hereby state that I/we have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I/we acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56.

I/we hereby claim the benefit under Title 35, United States Code, §119 of any United States provisional patent application, foreign application(s) for patent or inventor's certificate listed below and have also identified below any United States provisional patent application, foreign application for patent or inventor's certificate having a filing date before that of the above-identified application on which priority is claimed: **U.S. Provisional Patent Application Serial No 60/063,551 entitled "AN ADAPTIVE PROTOCOL TO ENABLE STRONG AUTHENTICATION IN HIGH-PERFORMANCE"**, and filed on **October 28, 1997**.

I/we hereby claim the benefit under Title 35, United States Code, §120 of any United States patent application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I/we acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application: **U.S. Utility Patent Application Serial No. 09/181,304 entitled "ADAPTIVE DATA SECURITY SYSTEM AND METHOD"**, and filed on **October 28, 1998**.

I/we hereby appoint the following attorneys/agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: **George M. Thomas, Reg. No. 22,260; James W. Kayden, Reg. No. 31,532; Scott A. Horstemeyer, Reg. No. 34,183; Stephen R. Risley, Reg. No. 35,659; Jeffrey R. Kuester, Reg. No. 34,367; Daniel J. Santos, Reg. No. 40,158; Daniel R. McClure, Reg. No. 38,962; Robert E. Stachler II, Reg. No. 36,934; David P. Kelley, Reg. No. 17,420; Michael J. Tempel, Reg. No. 41,344; Michael J. D'Aurelio, Reg. No. 40,977; David R. Risley, Reg. No. 39,345; Jon E. Holland, Reg. No. 41,077; Dan R. Gresham, Reg. No. 41,805; M. Paul Qualey, Reg. No. 43,024.**

Please address all telephone calls, in the first instance, to **David R. Risley**, at telephone number: **(770) 933-9500**.

Address all correspondence to:



Scott A. Horstemeyer, Esq.  
THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.  
100 Galleria Parkway, N.W., Suite 1750  
Atlanta, Georgia 30339-5948

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Signature: Phyllis A. Schneck Date: 30 June 00

Full Name of First or Sole Inventor: Phyllis A. Schneck  
Residence: 3221 Gables Way, Atlanta, Georgia 30309 Citizenship: USA  
Post Office Address: 3221 Gables Way, Atlanta, Georgia 30309

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of Second Inventor: Karsten Schwan  
Residence: 2378 Norwich Way, Tucker, GA 30084 Citizenship: \_\_\_\_\_  
Post Office Address: 2378 Norwich Way, Tucker, GA 30084

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of Third Inventor: Santosh Chokhani  
Residence: 3410 N. Buchanan Street, Arlington, VA 22207 Citizenship: \_\_\_\_\_  
Post Office Address: 3410 N. Buchanan Street, Arlington, VA 22207



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 100 Galleria Parkway, N.W., Suite 1750  
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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statement and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of First or Sole Inventor: Phyllis A. Schneck  
 Residence: 3221 Gables Way, Atlanta, Georgia 30309 Citizenship: \_\_\_\_\_  
 Post Office Address: 3221 Gables Way, Atlanta, Georgia 30309

Inventor's Signature:  Date: 7-24-00

Full Name of Second Inventor: Karsten Schwan  
 Residence: 2378 Norwich Way, Tucker, GA 30084 Citizenship: \_\_\_\_\_  
 Post Office Address: 2378 Norwich Way, Tucker, GA 30084

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of Third Inventor: Santosh Chokhani  
 Residence: 3410 N. Buchanan Street, Arlington, VA 22207 Citizenship: \_\_\_\_\_  
 Post Office Address: 3410 N. Buchanan Street, Arlington, VA 22207

DeclarPOA-Short.doc

Docket No. 062004-1300

Address all correspondence to



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THOMAS, KAYDEN, HORSTEMEYER  
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Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of First or Sole Inventor: **Phyllis A. Schneck**

Residence: 3221 Gables Way, Atlanta, Georgia 30309 Citizenship: \_\_\_\_\_

Post Office Address: 3221 Gables Way, Atlanta, Georgia 30309

Inventor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Full Name of Second Inventor: **Karsten Schwan**

Residence: 2378 Norwich Way, Tucker, GA 30084 Citizenship: \_\_\_\_\_

Post Office Address: 2378 Norwich Way, Tucker, GA 30084

Inventor's Signature:  Date: 6/20/00

Full Name of Third Inventor: **Santosh Chokhani**

Residence: 3410 N. Buchanan Street, Arlington, VA 22207 Citizenship: USA

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